



OFFICE OF INSPECTOR GENERAL

Semiannual Report to Congress April 1, 2002 – September 30, 2002

**Federal Election Commission
999 E Street, N.W., Suite 940
Washington, DC 20463**

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EXECUTIVE SUMMARY

I hereby submit this semiannual report to Congress covering the period April 1, 2002 through September 30, 2002. This report reflects our efforts to remain in accordance with the requirements of the *Inspector General Act of 1978*, as amended, and summarizes the major activities and accomplishments of the Federal Election Commission (FEC), Office of Inspector General (OIG). The Executive Summary recaps the accomplishments and general activities of the Office of Inspector General during the six month reporting period.

The special project report entitled ***Limited Scope Building Security Review (OIG-02-02 – June, 2002)***, was completed and released by the Office of Inspector General during this reporting period. The review was conducted to obtain the following objectives: 1) to assess the effectiveness of the FEC closed circuit television (CCTV) security system; and 2) to provide suggestions to improve overall building security.

The review was initiated for two reasons. Due to domestic and international acts of terrorism that have occurred in recent years, the Federal government has placed a greater importance on securing Federal facilities. Secondly, the theft of an FEC laptop computer gave rise to concern over the adequacy of the FEC's building security. Furthermore, according to GSA, the FEC is responsible for identifying problems with the internal building security cameras

and CCTV system equipment, and alerting GSA to any problems that may need to be addressed.

In order to achieve the stated objectives, an assortment of documents were reviewed. In addition, a variety of meetings were held to discuss several building security issues. The OIG's evaluation of the CCTV system also included a review of both the security cameras and the policies and procedures for the system. Although the report did not include any formal recommendations, several weaknesses were found that the IG staff believes should be addressed by management. However, the OIG concluded that the FEC's CCTV security system is generally effective in providing surveillance of the FEC building. To obtain more information relating to the review, see page 16, the section entitled ***Special Project***.

The Office of Inspector General initiated an audit entitled ***Audit of the FEC's Public Disclosure Process – (OIG-02-03)***. The OIG received a request from Congressman Stephen Horn, Chairman, Oversight Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations, requesting a complete review of how the Commission is carrying out its disclosure responsibilities and how the Commission can improve its use of technology and its controls to monitor and remedy reporting discrepancies.

The objectives of the audit are to: 1) determine the extent, if any, of disclosure differences between candidate contributions reported by political

committees and related committee contributions reportedly received by candidates; and 2) determine whether an adequate process is in place to remedy reporting discrepancies.

During the preliminary stages of the audit, several meetings have been conducted with management to gain an understanding of the details involved in the FEC's disclosure process. Although there is still a considerable amount of work to be done before the audit is complete, the OIG continues to make progress in executing the audit. To learn more about the audit, see the section entitled ***Audit***, starting on page 9.

The OIG conducted follow-up work on a previously performed audit. The audit report entitled, ***Agency Controls for Governing the Process for Procurement of Vendor Training Services (OIG-00-01)***, released September 2000, was conducted to assess economy, efficiency, and effectiveness of management controls governing the process for procurement of training services obtained through outside vendors. Our audit covered several issues which related to staff development at the Commission using outside vendors.

Although we noted no specific instances of fraud or abuse, based on the audit work, we concluded that agency controls governing the process for procurement of vendor training services were not effective or efficient. The original audit report contained seven recommendations. Prior to this reporting period, three of the recommendations were closed. However, as of this reporting

period, four recommendations are still pending. For detailed information regarding the follow-up work performed see page 12, the **Audit Follow-up** section of this report.

Because the entire IG staff is committed to assisting with the disclosure audit mentioned above, one project has been put on hold. During the previous semiannual reporting period, the OIG initiated an inspection of the FEC's subscription / publication services. The inspection entitled, ***Inspection of the Commission's Subscription / Publication Services – OIG -02-01***, is being conducted to: 1) assess the adequacy of the level of funds expended for various publications; and 2) determine whether the current publication budget and expenditures accurately reflect the usage of these publications and whether or not these publications meet the needs of the Commission.

Several meetings have been conducted with agency officials. One in particular was with the FEC Administrative Officer. This meeting was conducted to obtain agency publication acquisition policies and other information related to the subscription and publication services of the Commission. Although this project has been placed on hold, page 14 contains information pertaining to the work completed thus far on the inspection.

The OIG investigates complaints and information received from Commission employees, management officials or others concerning possible violations of FEC programs and operations. Three requests for investigations

were received by the OIG during this six month reporting period. For further details, refer to the ***Investigations*** section located on page 18.

Listed below is a general overview of additional work performed by the Office of Inspector General over the past six months. Starting on page 19, in the section entitled ***Additional Office of Inspector General Activity***, items are described in greater detail.

- Every year the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency assembles a progress report which is a compilation of the major accomplishments of the IG community. During this reporting period, the OIG reviewed and provided comments to the draft version of the *ECIE / PCIE FY 2001 Progress Report to the President*. When the report is finalized and released, all ECIE / PCIE members, as well as the President and House and Senate Committees will receive copies.
- The OIG also provided comments on the GAO draft report entitled *Inspectors General: Issues Related to the Consolidation of IG Offices*. GAO developed a survey which included 28 key elements related to IG independence. A draft version of the report was issued to all IG's with a request that a consolidated response be coordinated through the PCIE/ECIE Vice Chairs.

- The IG, as a member of the ECIE, maintains active membership with the council and its associated activities. During this reporting period, the Inspector General served on the ECIE 2002 Awards Review Panel.
- The Special Assistant to the IG continues to monitor legislative proposals which could directly or indirectly impact the FEC / OIG. During this reporting period, the Special Assistant attended the Legislative Hearing on *HR 4685, the Accountability of Tax Dollars Act of 2002*.

THE FEDERAL ELECTION COMMISSION

The Federal Election Commission (FEC) is an independent, regulatory agency responsible for administering and implementing the *Federal Election Campaign Act (FECA)*. The FEC is composed of six Commissioners who are appointed for six year terms by the President of the United States, with the advice and consent of the Senate. The FECA likewise established the positions of Staff Director and General Counsel, who are appointed by the Commissioners.

The Office of Inspector General is dedicated to assisting the Federal Election Commission as it continues to improve its efficiency and effectiveness.

OFFICE OF INSPECTOR GENERAL

The Federal Election Commission is one of the thirty-three designated agencies required to have an Inspector General under the 1988 amendments to the *Inspector General Act of 1978* (P.L. 100-504).

The responsibilities of the Inspector General as stated in P.L. 100-504 are as follows:

- conduct and supervise audits and investigations relating to the Federal Election Commission's programs and operations;

- provide leadership, coordination, and to recommend policies for activities designed to promote economy, efficiency and effectiveness in the administration of Commission programs and operations. To prevent and detect fraud, waste and abuse in these programs and operations, and;
- keep the Commissioners and Congress fully and currently informed about problems and deficiencies and the need for and progress of corrective actions.

The Inspector General, Lynne A. McFarland, reports directly to the six Commissioners. The OIG staff consists of three additional staff members – two Auditors and one Special Assistant, for a total of four. The OIG remains focused upon providing the highest level of professionalism and quality while conducting audits, inspections, investigations, and special reviews.

For the past three fiscal years, the OIG has requested contract money to enable the office to expand its audit capability. As of this date, we have not received any additional funds to enable us to contract out for audit assistance. It is the OIG's plan to again request funds for FY'04.

AUDIT

TITLE: **Audit of the FEC's Public Disclosure Process**

ASSIGNMENT #: **OIG – 02-03**

RELEASE DATE: **In Progress**

PURPOSE: The OIG received a request from Congressman Stephen Horn, Chairman, Oversight Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations, requesting a complete review of how the Commission is carrying out its disclosure responsibilities and how the Commission can improve its use of technology and its controls to monitor and remedy reporting discrepancies. The objectives of the audit are to: 1) determine the extent, if any, of disclosure differences between candidate contributions reported by political committees and related committee contributions reportedly received by candidates; and 2) determine whether an adequate process is in place to remedy reporting discrepancies.

The Project on Government Oversight (POGO) Committee produced two reports, the first entitled *Re-establishing Institutional Integrity at the FEC: Ten Common Sense Campaign Finance Disclosure Reforms*, March 5, 1998 and the second entitled *At the Federal Election Commission Things just Don't Add Up*, March 28, 2001. The POGO reports documented perceived problems with the Federal Election Commission's management of information. Congressman Horn is particularly interested in a review of issues discussed in the two reports.

Because the OIG has never conducted an audit of the FEC's disclosure process, a considerable amount of time has been obligated to the disclosure process procedures. In our efforts to prepare for the audit, the OIG met with management officials to obtain their opinion on whether the problems cited in the POGO reports are significant, and if so, what actions has or will be taken to address the deficiencies cited in the reports. In addition, the IG held an audit planning staff meeting so audit steps and objectives could be discussed and to inform staff members about the magnitude of this audit. The IG staff began to review documents that contained information related to the disclosure process.

The work completed thus far on the audit has been focused on two primary areas: 1) documenting and understanding the FEC's disclosure process; and 2) analyzing campaign finance data. To document and understand the FEC's disclosure process, meetings have been conducted with management and staff from the three primary offices involved in the FEC disclosure process. The results of those meetings were summarized, and information incorporated into documents detailing the FEC's disclosure process. As the IG office completes the first phase of the audit, work has now begun on the analyzing the campaign finance data.

The second primary area the OIG has devoted time to is downloading campaign finance data from the FEC's Internet site and the creation of computer databases. The information was downloaded so that the data can be analyzed to determine the extent of disclosure discrepancies, if any. The OIG is planning to

analyze the campaign finance data using Microsoft Access, a database program that will enable the IG office to analyze very large data files that detail the campaign finance activity for several election cycles. These large data files contain contributions and other financial information related to Federal elections.

Analyzing the campaign finance data has been time consuming, in part because the OIG staff has had to learn Microsoft Access, the computer program necessary to analyze the data. The OIG continues to work with the data files, and has sought technical assistance from the FEC's Data Systems Development Division (DSDD).

Although there is still a considerable amount of work to be done, the OIG has made major progress on the audit, and is determined to have the audit completed as soon as possible.

AUDIT FOLLOW-UP

TITLE: **Agency Controls Governing the Process for Procurement of Vendor Training Services**

ASSIGNMENT #: **OIG – 00-01**

RELEASE DATE: **September, 2000**
(audit report)

WEBSITE ADDRESS: **<http://www.fec.gov/fecig/training.pdf>**

PURPOSE: The purpose of conducting this follow-up was to determine whether corrective action had been taken to address the four recommendations that are currently outstanding. The primary objective of the original audit was to assess economy, efficiency, and effectiveness of management controls governing the process for procurement of training services obtained through outside vendors.

During the audit, the OIG used various methods of data collection including staff interviews, document reviews, and the examination of individual training records. To determine whether or not the FEC has in place management controls required by OMB directives and Federal regulations, we also performed an assessment of the system of management controls and operational practices related to the process for procurement of outside vendor training services.

Seven total recommendations were made and three recommendations were closed earlier. However, four recommendations are still outstanding. The

outstanding recommendations suggested management develop written policies & procedures that establish and document effective management controls; design and implement management controls to ensure each training request is uniformly processed through the agency; include all cost of training on the request for training (SF-182), including related expenses estimated and reported on the travel authorization form; and develop and implement a computer information system to replace the paper based system of records currently maintained for requesting and acquiring vendor training services.

The follow-up work conducted during this reporting period included the OIG providing a memorandum to the Personnel Director requesting a status report on the outstanding recommendations. According to the Personnel Director, procedures addressing the outstanding recommendation have been drafted but not implemented. Therefore, the recommendations will remain open until implemented and verified by the OIG.

INSPECTION REPORT

TITLE: **Inspection of the Commission's Subscription / Publication Services**

ASSIGNMENT #: **OIG – 02-01**

RELEASE DATE: **On Hold**

PURPOSE: The purpose of conducting the inspection is to: 1) assess the adequacy of the level of funds expended for various publications; and 2) determine whether the current publication budget and expenditures accurately reflects the usage of these publications and whether or not these publications meet the needs of the Commission. During the preliminary stages of the inspection, the OIG inspected various forms used to request publications, procurement requests, and purchase orders for subscriptions. To accomplish the main objectives of the inspection, the auditor reviewed prior OIG work related to acquisitions and performed several detailed analyses of publication usage among agency divisions.

The procedures completed thus far on the inspection include developing an inspection guide using information obtained through interviews with Commission personnel. After the inspection guide was developed, the OIG held a meeting with the FEC Administrative Officer. The meeting was held to obtain agency publication acquisition policies and related information. To obtain information relating to the development of effective surveys and questionnaires, an Internet search was conducted by the auditor. A survey was also developed to assess the

usage of current publication and publication services included in the FEC budget. In addition, the auditor also contacted other ECIE regulatory agencies with similar federal law enforcement responsibilities to obtain their 2001 fiscal year publication budget amounts. The results of this comparison was summarized and included in the working papers.

Although this inspection was introduced during the previous reporting period and continued into this reporting period, the IG staff is committed to assisting with the disclosure audit mentioned in the audit section of this report. Therefore the inspection is in on hold until further notice.

SPECIAL PROJECT

TITLE: **Limited Scope Building Security Review**

ASSIGNMENT #: **OIG – 02-02**

RELEASE DATE: **June, 2002**

PURPOSE: This limited scope building security review was conducted to assess the effectiveness of the building security cameras and address the building security issues that arose concerning the theft of a laptop computer. The objectives of the review were to: 1) assess the effectiveness of the FEC's closed circuit television (CCTV) security system; and 2) provide suggestions to improve overall building security, if warranted.

The review was initiated for two reasons. First, the Federal government has placed a greater importance on securing Federal facilities due to domestic and international acts of terrorism that have occurred in recent years. Second, the theft of a laptop computer in January, 2002 gave rise to concern over the adequacy of the FEC's building security. The theft occurred during the business day and was perpetrated by an unknown individual while Commission staff members worked in offices in the direct vicinity of the theft.

According to GSA, the FEC is responsible for identifying problems with the internal building security cameras and CCTV system equipment, and alerting GSA to any problems that may need to be addressed. In order to achieve the

stated objectives, the auditor reviewed a variety of documents. The OIG also reviewed a recording from the FEC's CCTV system to determine whether or not the security cameras provide effective surveillance of the FEC building. An array of meetings were held to further discuss building security issues. Additional meetings were arranged with the Personnel office to discuss the Commission's security badge procedures. Furthermore, officials from other Federal agencies were contacted to discuss their particular security procedures for securing public reading rooms.

The OIG's evaluation of the CCTV system included a review of both the security cameras and the policies and procedures for the system. The OIG concluded that the FEC's CCTV security system is generally effective in providing surveillance of the FEC building. Although the report does not include any formal recommendations, we did find several weaknesses that we feel should be addressed by management to improve the CCTV security system and the FEC's building access control policies. The suggestions contained in the report were intended to alert management to weaknesses found and to suggest improvement. The OIG believes management has taken the necessary steps to address many of the weaknesses reflected in the report.

INVESTIGATIONS

Investigative matters pursued by the Office of Inspector General are generally initiated as a result of allegations received from FEC Commissioners, managers, employees, or other individuals who contact the OIG directly. Occasionally the OIG conducts a preliminary inquiry to determine if an investigation is warranted.

There were no pending investigations as of the beginning of this reporting period. However, during the course of this reporting period, the OIG received three requests for investigations. One investigation has been opened and is in the process of being completed. The other two cases are being held in abeyance due to the lack of staff resources. As the open investigation is completed, the inactive cases will be reviewed for further action.

ADDITIONAL OFFICE OF INSPECTOR GENERAL ACTIVITY

All legislation, as compiled by the Commission's Congressional Affairs Office, was reviewed by the Inspector General, as required by the *Inspector General Act of 1978*, as amended. The Inspector General reviews and comments, when appropriate, on all legislation provided by the PCIE / ECIE Legislative Committee. In addition, the Inspector General routinely reads all Commission agenda items and attends Finance Committee meetings.

- On a yearly basis, the President's Council on Integrity and Efficiency and the Executive Council on Integrity and Efficiency assembles a progress report which is a compilation of the major fiscal year accomplishments of the IG community. During this reporting period, the OIG reviewed and provided comments to the draft version of the PCIE / ECIE FY 2001 Progress Report to the President.

The Council asked each PCIE / ECIE Inspector General to provide the following information to be included into the report: 1) appropriation amounts; 2) FTE's authorized / actual; 3) audit / inspection or evaluation reports issued; 4) investigations closed; 5) complaints processed; and 6) congressional testimonies. The Council also requested that a description of any reviews conducted or assistance provided as a direct result the September 11th terrorist attacks and plans to address President Bush's Management Initiative was also

asked to be incorporated into the report. The final draft of the report was reviewed for accuracy. Once finalized, the report will be forwarded to the President, the House and Senate Committees, and all PCIE / ECIE members.

- The IG's office also provided comments on the GAO Draft Report, *Inspectors General: Issues Related to the Consolidation of IG Offices*. GAO developed a survey which included 28 key elements related to IG independence. The survey was developed to obtain the IG's views on how independence, quality of work, and use of resources might be affected by: 1) converting DFE IGs from appointment by their agency heads to appointment by the President with Senate confirmation; and 2) consolidating IG offices by moving smaller DFE IG offices into larger Presidential IG offices.

In addition, the survey also requested that the IGs provide information about the potential impact of a permanent statutory alternative to the PCIE / ECIE and the usefulness of a budget threshold to determine where IG offices should be established. A draft version of the report was issued to all IGs with a request that a consolidated response be coordinated through the PCIE / ECIE Vice Chairs. The IG provided comments on several versions of the ECIE response, which was provided to the council and subsequently forwarded to GAO.

- The IG continues to attend the Executive Council on Integrity and Efficiency (ECIE) meetings and remains active on various issues impacting the OIG community. During this reporting period, the Inspector General served on the ECIE 2002 Awards Review Panel. The panel was responsible for reviewing the nominations submitted by the ECIE IG community for awards to be given during a joint PCIE / ECIE awards ceremony.
- The Special Assistant to the IG continues to monitor legislative proposals which could directly or indirectly impact the FEC / OIG. During the course of this reporting period, the special assistant attended the hearing on *HR 4685, the Accountability of Tax Dollars Act of 2002*, initiated by the Subcommittee on Government Efficiency, Financial Management, and Intergovernmental Relations, to listen to discussions on a proposal to require the 26 non-CFO IGs to perform annual financial statement audits. The reporting requirements apply to all agencies but OMB is authorized to exempt those agencies that do not meet the \$25 million threshold and those that pose low risks for errors. The notes taken and information collected was shared with the entire IG staff.

ECIE AND PCIE ACTIVITY

The Executive Council on Integrity and Efficiency was established by Executive Order on May 11, 1992. It consists of Designated Federal Entity Inspectors General and representatives of the Office of Government Ethics, the Office of Special Counsel, the Federal Bureau of Investigation and the Office of Management and Budget.

The Inspector General, as a member of the ECIE, maintains active membership with the Council and its associated activities. The ECIE identifies, reviews, and discuss issues that are of interest to the IG community. During the time frame of this reporting period, the Inspector General (or staff) attended the following training, programs and / or conferences:

- ECIE - *Monthly Meetings*
- ECIE - *Liaison Meetings*
- ECIE / PCIE – *Semiannual Reports Coordinators (SARC) Workgroup Meeting*
- ECIE / PCIE – *2002 Association of Directors of Investigation Conference – “911 – The Investigative Community’s Call to Action”*
- ECIE / PCIE – *2002 Annual Conference – Challenges of a New World*
- PCIE / ECIE – *Ethics Program Enforcement – The IG Role*
- PCIE / ECIE – *Human Resources Committee – Poor Performance Seminar*
- PCIE / ECIE – *Federal Audit Executive Council Meeting*

- PCIE - *Government Performance and Results Act (GPRA) Interest Group Roundtable Discussion*
- PCIE – *Inspectors’ General Information Technology Roundtable Discussion*
- PCIE – *Human Resources Committee: Government Charge Cards Training*
- PCIE – *Future Governance and the OIG’s Roundtable Discussion*
- The Association of Government Accountants – *Transforming the Government Enterprise*
- Inspector General Auditor Training Institute – *Auditing to Improve Processes*
- Institute of Internal Auditor’s – *2002 International Conference*
- Institute of Internal Auditor’s – *Certified Government Auditing Professional Exam*
- Intergovernmental Audit Forum – *14th Biennial Forum of Government Auditors: Sailing Through Uncharted Waters*
- National Institute of Standards and Technology – *Computer Security Seminar*
- National Institute of Standards and Technology – *Continuity of Operations: Planning & Response in Today’s Environment*
- National Seminars Group – *Business Writing & Grammar Skills*
- Office of Management and Budget – *Government Information Security Reform Act (GISRA)*
- Federal Election Commission - *Administrative Liaison Meetings*
- Federal Election Commission – *New Employee Orientation*

IG ACT	REPORTING REQUIREMENTS	PAGE
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Reporting requirements required by the *Inspector General Act of 1978*, as amended by the *Inspector General Act Amendments of 1988* are listed below:

Section 4(a)(2)	Review of Legislation-----	19
Section 5(a)(1)	Significant Problems, Abuses, and Deficiencies-----	None
Section 5(a)(2)	Recommendations with Respect to Significant Problems, Abuses, and Deficiencies-----	None
Section 5(a)(3)	Recommendations Included in Previous Reports on Which Corrective Action Has Not Been Completed-----	27
Section 5(a)(4)	Matters Referred to Prosecutive Authorities-----	None
Section 5(a)(5)	Summary of Instances Where Information was Refused-----	None
Section 5(a)(7)	Summary of Significant Reports-----	9
Section 5(a)(8)	Questioned and Unsupported Costs-----	25
Section 5(a)(9)	Recommendations that Funds be put to Better Use-----	26
Section 5(a)(10)	Summary of Audit Reports issued before the start of the Reporting Period for which no Management Decision has been made-----	N/A
Section 5(a)(11)	Significant revised Management Decisions-----	N/A
Section 5(a)(12)	Management Decisions with which the Inspector General is in Disagreement-----	None

TABLE I
INSPECTOR GENERAL ISSUED REPORTS
WITH QUESTIONED COSTS

		DOLLAR VALUE (in thousands)	
		QUESTIONED COSTS	UNSUPPORTED COSTS
	NUMBER		
A. For which no management decision has been made by commencement of the reporting period	0	0	[0]
B. Which were issued during the reporting period	0	0	[0]
Sub-Totals (A&B)	0	0	[0]
C. For which a management decision was made during the reporting period	0	0	[0]
(i) Dollar value of disallowed costs	0	0	[0]
(ii) Dollar value of costs not disallowed	0	0	[0]
D. For which no management decision has been made by the end of the reporting period	0	0	[0]
E. Reports for which no management decision was made within six months of issuance	0	0	[0]

TABLE II

**INSPECTOR GENERAL ISSUED REPORTS WITH
RECOMMENDATIONS THAT FUNDS BE PUT TO BETTER USE**

		NUMBER	DOLLAR VALUE (in thousands)
A.	For which no management decision has been made by the commencement of the reporting period	0	0
B.	Which were issued during the reporting period	0	0
C.	For which a management decision was made during the reporting period	0	0
	(i) dollar value of recommendations were agreed to by management	0	0
	based on proposed management action	0	0
	based on proposed legislative action	0	0
	(ii) dollar value of recommendations that were not agreed to by management	0	0
D.	For which no management decision has been made by the end of the reporting period	0	0
E.	Reports for which no management decision was made within six months of issuance	0	0

<p>TABLE III</p> <p>SUMMARY OF AUDIT REPORTS WITH CORRECTIVE ACTIONS OUTSTANDING FOR MORE THAN SIX MONTHS</p>

<u>Report Title</u>	<u>Report Number</u>	<u>Issue Date</u>	Recommendations		
			<u>Number</u>	<u>Closed</u>	<u>Open</u>
Agency Controls Governing the Process for Procurement of Vendor Training Services	00-01	09/00	7	3	4

FEC / OIG Strategic Plan

OIG Products: *To provide products and services that promote positive change in FEC policies, programs, and operations.*

Objective A: Deliver timely, high-quality products and services that promote positive change.

Strategy:

- establish common OIG standards for communicating results;
- conduct quality assurance programs;
- solicit appropriate internal and external review and comment;
- comply with applicable statutory guidelines and standards;
- set realistic and appropriate milestones.

Objective B: Address priority issues and concerns of the Commission, Congress, and Management.

Strategy:

- Perform work that supports;
- Federal Election Commission and Congressional priorities;
- National Performance Review objectives;
- Strategic Management Initiative efforts;

Focus OIG attention in the following areas of emphasis:

- managing change;
- resource allocation in relation to policy objectives;
- delivery of client service;
- causes of fraud and inefficiency; and,
- automation and communication.

Objective C: Follow-up and evaluate results of OIG products and services to assess their effectiveness in promoting positive change.

Strategy:

- Identify, as appropriate, lessons learned to improve timeliness and quality; and,
- conduct follow-up reviews to determine if intended results have been achieved.

Objective D: Satisfy customers, consistent with the independent nature of the OIG.

Strategy:

- establish professional communication and interaction with customers to promote the open exchange of ideas;
- incorporate customer feedback, as appropriate; and,
- be open to customer-generated solutions and options.

Performance Measures: Determine the timeliness and quality of products and services; their effectiveness in promoting positive change; and, reach agreement with management on at least 90% of recommendations within six months of the report issue date.

OIG Process: *To develop and implement processes, policies, and procedures to ensure the most effective and appropriate use of OIG resources in support of our people and products.*

Objective A: Maintain a dynamic strategic planning process.

Strategy:

- periodically review and update the strategic plan to address changing OIG and FEC priorities; and,
- identify factors that influence organizational change and develop short and long term plans to address them.

Objective B: Plan and conduct cost-effective work that address critical issues and results in positive change.

Strategy:

- solicit FEC and Congressional input in planning OIG activities;
- develop internal planning mechanisms to support FEC goals and priorities;
- ensure that priorities of IG are effectively communicated; and,
- identify specific targets for OIG review that are the most cost-effective

Objective C: Identify customer needs and provide products and services to meet them.

Strategy:

- establish new customer feed back mechanisms;
- consider and evaluate customers feedback when planning and developing products and services;
- respond to Congressional inquiries and request for briefing and testimony;
- promote open exchange of ideas and information through outreach and through use of e-mail; and,
- receive, evaluate, and respond, as appropriate, to information received through the OIG hotline and other sources.

Objective D: Implement efficient, effective, and consistent resolution and follow-up procedures.

Strategy:

- ensure that IG follow-up procedures are followed and that management is aware of their role in the process; and,
- establish common OIG standards for terminology, date maintenance and communications.

Objective E: Establish a positive and productive working environment.

Strategy:

- reengineer or streamline OIG procedures to achieve the most effective use of resources; and,
- ensure that necessary technologies, evolving and otherwise, are made available to staff as needed.

Performance Measures: An annual audit plan is issued; strategic plan is periodically reviewed; and, necessary technology is provided to staff to enable them to most efficiently perform their duties.

OIG Staff: *To maintain a skilled and motivated work force in an environment that fosters accountability, communications, teamwork, and personal and professional growth.*

Objective A: Attract and retain well-qualified, diverse and motivated employees.

Strategy:

- develop and implement a comprehensive recruiting program that attracts a broad population with the knowledge, skills, abilities, and expertise necessary to make meaningful contributions to the OIG;
- assess employee satisfaction and develop strategies to address employee concerns;
- identify reasons for staff departures and develop plans to foster greater staff retention; and,
- adhere to EEO principles and strive to maintain a diverse work force.

Objective B: Provide training and developmental opportunities to employees.

Strategy:

- assess training needs in relation not only to employee but also office needs as well;
- ensure that Government Auditing Standards in relation to training are adhered to; and,
- maintain a reporting system to ensure that educational requirements are met.

Objective C: Assess, recognize, and reward, when possible, performance that contributes to achieving the OIG mission.

Strategy:

- develop and articulate expectations for each employee's performance, including contributions in meeting the mission & goals of the OIG; and,
- ensure that rewards, when possible, are given in recognition of exceptional employee performance.

Objective D: Create and maintain a working environment that promotes teamwork and effective communication.

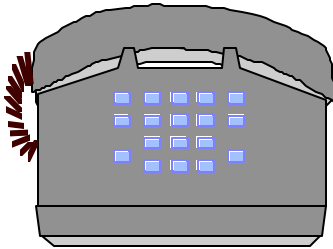
Strategy:

- ensure that communications between employees is open; and,
- provide employees with the tools and incentives they need to adequately perform their duties.

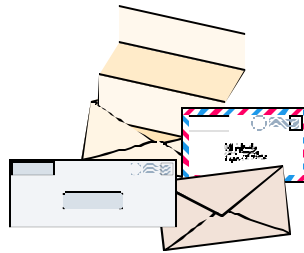
Performance Measures: All employees meet the training requirements; all employees have performance standards; and, all employees meet the basic requirements for the position in which they were hired to perform.

CONTACTING THE OFFICE OF INSPECTOR GENERAL

The success of the OIG mission to prevent fraud, waste, and abuse depends on the cooperation of FEC employees (and the public). There are several ways to report questionable activity.



Call us at **202-694-1015** or toll-free **1-800-424-9530**. A confidential or anonymous message can be left 24 hours a day / 7 days a week.



Write or visit us - we are located at:

**Federal Election Commission
Office of Inspector General
999 E Street, N.W., Suite 940
Washington, DC 20463**

Mail is opened by OIG staff members only.



You can also contact us by e-mail at: **oig@fec.gov**.
Our Website address: **<http://www.fec.gov/fecig.htm>**.

Individuals may be subject to disciplinary or criminal action for knowingly making a false complaint or providing false information.